# EXECUTIVE SUMMARY - ENFORCEMENT MATTER DOCKET NO.: 2007-1697-LII-E TCEQ ID: RN105314231 CASE NO.: 34822

RESPONDENT NAME: ROBERTO LUGO

ORDER TYPE:				
1660 AGREED ORDER	FINDINGS AGREED ORDER	FINDINGS ORDER FOLLOWING SOAH HEARING		
X FINDINGS DEFAULT ORDER	_SHUTDOWN ORDER	IMMINENT AND SUBSTANTIAL ENDANGERMENT ORDER		
AMENDED ORDER	EMERGENCY ORDER			
CASE TYPE:				
AIR	MULTI-MEDIA (check all that apply)	INDUSTRIAL AND HAZARDOUS WASTE		
PUBLIC WATER SUPPLY	PETROLEUM STORAGE TANKS	X_OCCUPATIONAL CERTIFICATION		
WATER QUALITY	SEWAGE SLUDGE	UNDERGROUND INJECTION CONTROL		
MUNICIPAL SOLID WASTE	RADIOACTIVE WASTE	DRY CLEANER REGISTRATION		
SITE WHERE VIOLATION(S) OCCURRED: 1624 Mary Street, Corpus Christi, Nueces County  TYPE OF OPERATION: Landscape irrigation  SMALL BUSINESS: _X_YesNo  OTHER SIGNIFICANT MATTERS: There are no complaints. There is no record of additional pending enforcement actions regarding this respondent.  INTERESTED PARTIES: No one other than the ED and the Respondent expressed an interest in this matter.  COMMENTS RECEIVED: The Texas Register comment period expired June 1, 2009. No comments were received.  CONTACTS AND MAILING LIST:  TCEQ Attorney: Mr. Rudy Calderon, Litigation Division, MC 175, (512) 239-0205  Ms. Lena Roberts, Litigation Division, MC 175, (512) 239-0019  TCEQ Enforcement Coordinator: Mr. Rajesh Acharya, Waste Enforcement Section, MC 128, (512) 239-0577  TCEQ Regional Contact: Mr. David Kennebeck, Corpus Christi Regional Office, MC R-14 (361) 825-3100  Respondent: Mr. Roberto Lugo, 1624 Mary Street, Corpus Christi, Texas 78401  Respondent's Attorney: Not represented by counsel on this enforcement matter.				

# RESPONDENT NAME: ROBERTO LUGO DOCKET NO.: 2007-1697-LII-E

VIOLATION SUMMARY CHART:				
VIOLATION INFORMATION	PENALTY CONSIDERATIONS	CORRECTIVE ACTIONS TAKEN/REQUIRED		
Type of Investigation:	Total Assessed: \$262	Ordering Provision(s)		
Complaint Routine Enforcement Follow-up X Records Review	Total Deferred: \$0Expedited OrderFinancial Inability to PaySEP Conditional Offset	The Executive Director recognizes that the Respondent obtained an irrigator license on February 11, 2009.		
Date of Complaint Relating to this Case: None	Total Due to General Revenue: \$262			
Date of Investigation Relating to this Case: October 3, 2007	This is a Default Order. The Respondent has not actually paid any of the assessed penalty but will be required to do so under the terms of this order.			
Date of NOE Relating to this Case: November 14, 2007	Site Compliance History Classification N/A			
Background Facts: The EDPRP was filed June 10, 2008, and mailed to the Respondent via certified mail, return receipt requested, and via first class mail, postage prepaid. According to the return receipt "green card," the Respondent received notice of the EDPRP on June 12, 2008. The Respondent failed to answer the EDPRP, failed to request a hearing, and failed to schedule a settlement conference.	Person Compliance History Classification N/A  Major Source: Yes _X_ No  Applicable Penalty Policy: September 2002			
Current Compliance Status:  The Respondent obtained an irrigator license on February 11, 2009.				
Failed to possess a license or registration prior to advertising or representing to the public that services, for which a license or registration is required, can be performed [30 Tex. ADMIN. CODE §§ 30.5(a) and 344.4(a), Tex. WATER CODE § 37.003, and Tex. Occ. CODE § 1903.251].				

	Penalty (	Calculatio	n Works	sheet (P	CW)	
Policy Revision 2 (Sept	lember 2002)				PCN	/ Revision January 9, 2007
TCEQ						
DATES Assigned PCW		g 19-Oct-2007	EPA Due	<u> </u>	1	
FGYY	19-Jan-2000 Screening	ig 19-001-2001	LI A Due			WHITE COME THE WATER TO SERVE THE SE
RESPONDENT/FACILITY	INFORMATION					
Respondent	Roberto Lugo					
Reg. Ent. Ref. No. Facility/Site Region	RN105314231		Major/	Minor Source	Minor	
racility/Site Region	14-Oorpus Offitsti		wajoi?	Millor Gource	IVIIITOI	
CASE INFORMATION	4					
Enf./Case ID No.			No.	of Violations		
	2007-1697-LII-E All Occupational Licenses		Enf	Order Type	Rajesh Acharya	
Multi-Media			LIII		Enforcement T	
Admin. Penalty \$ L		Maximum	\$2,500			
Sign of the state	AND DESCRIPTION OF THE PROPERTY OF THE PROPERT					
	Pena	alty Calcula	ition Sec	tion		
TOTAL BASE PENAL	TY (Sum of violation	base penaltie	es)		Subtotal 1	\$250
101712 27102 1 211712	(Cam or moranor.	naco ponano	,			· · · · · · · · · · · · · · · · · · ·
ADJUSTMENTS (+/-)						
Subtotals 2-7 are obtain	ned by multiplying the Total Base F	* * * * * * * * * * * * * * * * * * * *	the indicated per Enhancement		otals 2, 3, & 7	\$12
Compliance risk	лу	3 /8	Elinancement	Jubit	]	Ψ12
Notes	Enhancement for on	e previous NOV w	ith the same	violation.		
Culpability	No	0%	Enhancement		Subtotal 4	\$0
Notes	The Respondent	does not meet the	culpability cr	iteria.		
de de la constant de	<u> </u>			:	ı -	
Good Faith Effort		0%	Reduction		Subtotal 5	\$0
Extraordinary	Before NOV NOV to EDF	PRP/Settlement Offer				
Ordinary		-				
N/A	X (mark with x)				•	
Notes	The Respondent	does not meet the	e good faith cr	iteria		
110100	- The Hoopenies					
		. 0%	Enhancement*		Subtotal 6	\$0
v	Total EB Amounts \$13		at the Total EB \$	S Amount		
Approx.	Cost of Compliance \$450				-	
SUM OF SUBTOTALS	S 1-7			F	inal Subtotal	\$262
OUNION OUDIOTAL	J 17			•	ar oubtotar [	*
OTHER FACTORS AS	S JUSTICE MAY REQ	UIRE			Adjustment	\$0
Reduces or enhances the Final S	ubtotal by the indicated percentag	e. (Enter number only	; e.g30 for -30%	%.)	· _	
Notes						
1 1				Final Per	। nalty Amount ि	\$262
						· · · · · · · · · · · · · · · · · · ·
STATUTORY LIMIT A	DJUSTMENT			Final Asse	ssed Penalty	\$262
· ·				1	-	
DEFERRAL			0%	Reduction	Adjustment	\$0
Reduces the Final Assessed Pen	alty by the indicted percentage. (E	⊏nter number only; e.g	. ∠u for 20% redu	icuon.)	1	
Notes	Deferral not of	fered for non-expe	edited settleme	ent		
11000						
	I			·	•	

PAYABLE PENALTY

\$262

Screening Date 19-Oct-2007

Docket No. 2007-1697-LII-E

Policy Revision 2 (September 2002) PCW Revision January 9, 2007

Respondent Roberto Lugo Case ID No. 34822

Reg. Ent. Reference No. RN105314231

Media [Statute] All Occupational Licenses

Enf. Coordinator Rajesh Acharya

#### **Compliance History Worksheet**

		Enter Number Here	Adjust.
NOVs	Written NOVs with same or similar violations as those in the current enforcement action (number of NOVs meeting criteria)	1	5%
	Other written NOVs	0	0%
I	Any agreed final enforcement orders containing a denial of liability (number of orders meeting criteria)	0	0%
	Any adjudicated final enforcement orders, agreed final enforcement orders without a denial of liability, or default orders of this state or the federal government, or any final prohibitory emergency orders issued by the commission	0	0%
	Any non-adjudicated final court judgments or consent decrees containing a denial of liability of this state or the federal government (number of judgements or consent decrees meeting criteria)		0%
	Any adjudicated final court judgments and default judgments, or non-adjudicated final court judgments or consent decrees without a denial of liability, of this state or the federal government		0%
Convictions	Any criminal convictions of this state or the federal government (number of counts)	0	0%
	Chronic excessive emissions events (number of events)	0	0%
1	Letters notifying the executive director of an intended audit conducted under the Texas Environmental, Health, and Safety Audit Privilege Act, 74th Legislature, 1995 (number of audits for which notices were submitted)	l .	0%
, locates	Disclosures of violations under the Texas Environmental, Health, and Safety Audit Privilege Act, 74th Legislature, 1995 (number of audits for which violations were disclosed)	0	0%
	Plea	se Enter Yes or No	
	Environmental management systems in place for one year or more	No	0%
Other	Voluntary on-site compliance assessments conducted by the executive director under a special assistance program	No	0%
Other	Participation in a voluntary pollution reduction program	No	0%
	Early compliance with, or offer of a product that meets future state or federal government environmental requirements	No	0%
	Adjustment F	Percentage (S	ubtotal 2)
t Violator (Su	btotal 3)		
No	Adjustment F	Percentage (S	ubtotal 3)
iance History	Person Classification (Subtotal 7)	- •	
N/A	Adjustment F	Percentage (S	ubtotal 7)
liance History	Summary	•	
Compliance History Notes	Enhancement for one previous NOV with the same violation.		
	· · · · · · · · · · · · · · · · · · ·		

Screening Date	19-Oct-2007	PCW
Respondent		y Revision 2 (September 2002)
Case ID No.	34822	PCW Revision January 9, 2007
Reg. Ent. Reference No.	RN105314231	
Media [Statute]	All Occupational Licenses	
Enf. Coordinator		
Violation Number	1	
Rule Cite(s)	30 Tex. Admin. Code §§ 30.5(b) and 344.4(a), Tex. Water Code § 37.003, and Tex	
rtale cita(e)	Occupations Code § 1903.251	
Violation Description	Failed to refrain from advertising or representing himself to the public as a person who can perform services for which a license or registration is required when not possessing a current license or registration. Specifically, Mr. Lugo advertised for irrigation repair services through the distribution of fliers without having an irrigator license.	
	. Base Pena	ty \$2,500
>> Environmental, Property a  Release OR Actual Potential  >>Programmatic Matrix Falsification  Matrix Notes	Harm Major Moderate Minor  Percent 0%  Major Moderate Minor  x Percent 10%  100% of the rule requirement was not met.	
	Adjustment \$2,2	\$250
Violation Events		720) 840
Number of Vio	lation Events 1 16 Number of violation days	,
mark only one with an x	daily monthly quarterly semiannual annual single event x	ty \$250
One single	event is recommended based on documentation of the violation during a record review conducted on October 3, 2007.	
Economic Benefit (EB) for th	s violation Statutory Limit Test	
Estimated	I EB Amount \$13 Violation Final Penalty To	al \$262
·	The state of the s	-) 0000
	This violation Final Assessed Penalty (adjusted for limit	\$262

# Economic Benefit Worksheet espondent Roberto Lugo case ID No. 34822

Item Cost	Date Required				5.0	15
Item Cost	Date Required					
	wate neguneu	Final Date	Yrs	Interest Saved	Onetime Costs	EB Amount
No commas or \$	•					
			_			
			0.0	\$0	\$0	\$0
			0.0	\$0	\$0	\$0
			0.0	\$0	\$0	\$0
			0.0	\$0	\$0	\$0
			0.0	\$0	n/a	\$0
			0.0	\$0	n/a	\$0
			0.0	\$0	n/a	\$0
			0.0	\$0	n/a	\$0
			0.0	\$0	n/a	\$0
\$450	3-Oct-2007	3-May-2008	0.6	\$13	n/a	\$13
ANNI	JALIZE [1] avoide			,	one-time avoided c	osts)
			0.0	\$0	\$0	\$0
			0.0	\$0	\$0	\$0
			0.0	\$0	\$0	\$0
			0.0	\$0	\$0	\$0
			0.0	\$0	\$0	\$0
			0.0	\$0	\$0	\$0
			0.0	\$0	\$0	\$0
	stimated amo	stimated amount required to obtain	istimated amount required to obtain a valid irrigato is the estimal	0.0   0.0	0.0 \$0   0	0.0 \$0 \$0 \$0 \$0 \$0 \$0 \$0 \$0 \$0 \$0 \$0 \$0 \$0

## **Compliance History**

Customer/Respondent/Owner-Operator:	CN603231994	LUGO, ROBERTO	Classification:	Rating:
Regulated Entity:	RN105314231	LUGO ROBERTO	Classification:	Site Rating:
ID Number(s):				
Location:	1624 MARY ST,	CORPUS CHRISTI, TX, 784	01	
TCEQ Region:	REGION 14 - CC	RPUS CHRISTI		,
Date Compliance History Prepared:	October 23, 2007	·	•	
Agency Decision Requiring Compliance History:	Enforcement			
Compliance Period:	October 23, 2002	2 to October 23, 2007		
TCEQ Staff Member to Contact for Additional Info				
Name: Rajesh Acharya	Ph	ione: (512) 239-0577		
	Site C	ompliance History Com	ponents	
1. Has the site been in existence and/or operatio	•	•	Yes	
<ul><li>2. Has there been a (known) change in ownershi</li><li>3. If Yes, who is the current owner?</li></ul>	p of the site during th	ne compliance period?	No N/A	
4. if Yes, who was/were the prior owner(s)?			N/A N/A	
5. When did the change(s) in ownership occur?			N/A	
Components (Multimedia) for the Site:				
A. Final Enforcement Orders, court judge	ments, and consent	decrees of the state of Texas	and the federal government.	
N/A				
B. Any criminal convictions of the state o	f Texas and the fede	ral government.		
N/A				
C. Chronic excessive emissions events.				
N/A				
D. The approval dates of investigations.	(CCEDS Inv. Track. I	No.)	•	
N/A	CCDS Inv. Trook No	- \		
E. Written notices of violations (NOV). (CDate: 08/22/2007 (5725)	_	0.)		•
Self Report? NO	51)	Class	sification: Moderate	
Citation: 30 TAC Ch Description: A person m license or n may not ad license or n	egistration unless the vertise or represent t egistration is required	or A 30.5(b) epresent themselves to the perpesent themselves to the perpension of the public that it can perfor dunless it holds a current lice to hold current licenses.	or registration. A person m services for which a	
F. Environmental audits. N/A				
G. Type of environmental management s	systems (EMSs).			
N/A				
H. Voluntary on-site compliance assessn	nent dates.			
N/A				
I. Participation in a voluntary pollution re	eduction program.	•		
N/A				
J. Early compliance.				

N/A Sites Outside of Texas N/A

### TEXAS COMMISSION ON ENVIRONMENTAL QUALITY



IN THE MATTER OF AN	§	BEFORE THE
ENFORCEMENT ACTION	§	
CONCERNING	§	TEXAS COMMISSION ON
ROBERTO LUGO;	§	
RN105314231	§	ENVIRONMENTAL QUALITY
	§	

#### DEFAULT ORDER DOCKET NO. 2007-1697-LII-E

At its	agenda, the Texas Commission on Environmental Quality,
("Commission" or "TCEQ")	considered the Executive Director's Preliminary Report and Petition
filed pursuant to TEX. WATE	R CODE chs. 7 and 37, Tex. Occ. CODE ch. 1903, and the rules of the
TCEQ, which requests approp	priate relief, including the imposition of an administrative penalty and
corrective action of the respon	ndent. The respondent made the subject of this Order is Roberto Lugo
("Mr. Lugo").	

The Commission makes the following Findings of Fact and Conclusions of Law:

#### FINDINGS OF FACT

- 1. Mr. Lugo owns and operates a landscape irrigation business located at 1624 Mary Street, Corpus Christi, Nueces County, Texas.
- 2. Mr. Lugo sells, designs, consults on, installs, maintains, alters, repairs, and/or services landscape irrigation systems. Therefore, Mr. Lugo is subject to TCEQ jurisdiction pursuant to Tex. Occ. Code ch. 1903 and Tex. Water Code chs. 7 and 37.
- 3. During a record review conducted on October 3, 2007, a TCEQ Central Office investigator documented that Mr. Lugo failed to possess a license or registration prior to advertising or representing to the public that services, for which a license or registration is required, can be performed. Specifically, Mr. Lugo advertised for irrigation repair services through the distribution of fliers without having an irrigator license.
- 4. Mr. Lugo received notice of the violation on or about November 19, 2007.
- 5. The Executive Director filed the "Executive Director's Preliminary Report and Petition Recommending that the Texas Commission on Environmental Quality Enter an Enforcement

- Order Assessing an Administrative Penalty Against and Requiring Certain Actions of Roberto Lugo (the "EDPRP") in the TCEQ Chief Clerk's office on June 10, 2008.
- 6. By letter dated June 10, 2008, sent via certified mail, return receipt requested, and via first class mail, postage prepaid, the Executive Director served Mr. Lugo with notice of the EDPRP. According to the return receipt "green card," Mr. Lugo received notice of the EDPRP on June 12, 2008, as evidenced by the signature on the card.
- 7. More than 20 days have elapsed since Mr. Lugo received notice of the EDPRP, provided by the Executive Director. Mr. Lugo failed to file an answer to the EDPRP, failed to request a hearing, and failed to schedule a settlement conference.

#### **CONCLUSIONS OF LAW**

- 1. As evidenced by Finding of Fact Nos. 1 and 2, Mr. Lugo is subject to the jurisdiction of the TCEQ pursuant to Tex. Water Code chs. 7 and 37, Tex. Occ. Code ch. 1903, and the rules of the Commission.
- 2. As evidenced by Finding of Fact No. 3, Mr. Lugo failed to possess a license or registration prior to advertising or representing to the public that services, for which a license or registration is required, can be performed in violation of 30 Tex. ADMIN. Code §§ 30.5(b) and 344.4(a), Tex. Water Code § 37.003, and Tex. Occ. Code § 1903.251.
- 3. As evidenced by Finding of Fact Nos. 5 and 6, the Executive Director timely served Mr. Lugo with proper notice of the EDPRP, as required by Tex. WATER CODE § 7.055 and 30 Tex. Admin. Code § 70.104(a)(2).
- 4. As evidenced by Finding of Fact No. 7, Mr. Lugo failed to file a timely answer to the EDPRP, as required by Tex. Water Code § 7.056 and 30 Tex. Admin. Code § 70.105. Pursuant to Tex. Water Code § 7.057 and 30 Tex. Admin. Code § 70.106, the Commission may enter a Default Order against Mr. Lugo and assess the penalty recommended by the Executive Director.
- 5. Pursuant to Tex. Water Code § 7.051, the Commission has the authority to assess an administrative penalty against Mr. Lugo for violations of the Texas Water Code and the Texas Occupations Code within the Commission's jurisdiction, for violations of rules adopted under such statutes, or for violations of orders or permits issued under such statutes.
- 6. An administrative penalty in the amount of two hundred sixty-two dollars (\$262.00) is justified by the facts recited in this Order, and considered in light of the factors set forth in Tex. Water Code § 7.053.

Roberto Lugo Docket No. 2007-1697-LII-E Page 3

- 7. TEX. WATER CODE §§ 5.102 and 7.002 authorize the Commission to issue orders and make determinations necessary to effectuate the purposes of the statutes within its jurisdiction.
- 8. The Executive Director recognizes that Mr. Lugo obtained an irrigator license on February 11, 2009.

#### ORDERING PROVISIONS

NOW, THEREFORE, THE TEXAS COMMISSION ON ENVIRONMENTAL QUALITY ORDERS that:

1. Mr. Lugo is assessed an administrative penalty in the amount of two hundred sixty-two dollars (\$262.00) for violations of the Texas Water Code, Texas Occupations Code, and the rules of the TCEQ. The payment of this administrative penalty and Mr. Lugo's compliance with all the terms and conditions set forth in this Order completely resolve the matters set forth by this Order in this action. The Commission shall not be constrained in any manner from requiring corrective actions or penalties for other violations which are not raised here. All checks submitted to pay the penalty imposed by this Order shall be made out to the "Texas Commission on Environmental Quality." The administrative penalty assessed by this Order shall be paid within 30 days after the effective date of this Order and shall be sent with the notation "Re: Roberto Lugo; Docket No. 2007-1697-LII-E" to:

Financial Administration Division, Revenues Section Attention: Cashier's Office, MC 214 Texas Commission on Environmental Quality P.O. Box 13088 Austin, Texas 78711-3088

- 2. All relief not expressly granted in this Order is denied.
- 3. The provisions of this Order shall apply to and be binding upon Mr. Lugo. Mr. Lugo is ordered to give notice of this Order to personnel who maintain day-to-day control over the business operations referenced in this Order.
- 4. If Mr. Lugo fails to comply with any of the Ordering Provisions in this Order within the prescribed schedules, and that failure is caused solely by an act of God, war, strike, riot, or other catastrophe, Mr. Lugo's failure to comply is not a violation of this Order. Mr. Lugo shall have the burden of establishing to the Executive Director's satisfaction that such an event has occurred. Mr. Lugo shall notify the Executive Director within seven days after Mr.

Roberto Lugo Docket No. 2007-1697-LII-E Page 4

Lugo becomes aware of a delaying event and shall take all reasonable measures to mitigate and minimize any delay.

- 5. The Executive Director may grant an extension of any deadline in this Order or in any plan, report, or other document submitted pursuant to this Order, upon a written and substantiated showing of good cause. All requests for extensions by Mr. Lugo shall be made in writing to the Executive Director. Extensions are not effective until Mr. Lugo receives written approval from the Executive Director. The determination of what constitutes good cause rests solely with the Executive Director.
- 6. The Executive Director may refer this matter to the Office of the Attorney General of the State of Texas ("OAG") for further enforcement proceedings without notice to Mr. Lugo if the Executive Director determines that Mr. Lugo has not complied with one or more of the terms or conditions in this Order.
- 7. This Order shall terminate five years from its effective date or upon compliance with all the terms and conditions set forth in this Order, whichever is later.
- 8. The Chief Clerk shall provide a copy of this Order to each of the parties. By law, the effective date of this Order shall be the date the Order is final, as provided by 30 Tex. ADMIN. CODE § 70.106(d) and Tex. Gov't Code § 2001.144.

## SIGNATURE PAGE

TEXAS COMMISSION ON ENVIRONMENTAL QUALITY

For the Commission

#### AFFIDAVIT OF RUDY CALDERON

STATE OF TEXAS §

COUNTY OF TRAVIS §

"My name is Rudy Calderon. I am of sound mind, capable of making this affidavit, and the facts stated in this affidavit are within my personal knowledge and are true and correct.

On behalf of the Executive Director of the Texas Commission on Environmental Quality, the "Executive Director's Preliminary Report and Petition Recommending that the Texas Commission on Environmental Quality Enter an Enforcement Order Assessing an Administrative Penalty Against and Requiring Certain Actions of Roberto Lugo" (the "EDPRP") was filed with the Office of the Chief Clerk on June 10, 2008.

The EDPRP was mailed to Mr. Lugo at his last known address on June 10, 2008, via certified mail, return receipt requested, and via first class mail, postage prepaid. According to the return receipt "green card," Mr. Lugo received notice of the EDPRP on June 12, 2008, as evidenced by the signature on the card.

More than 20 days have elapsed since Mr. Lugo received notice of the EDPRP. Mr. Lugo failed to file an answer to the EDPRP, failed to request a hearing, and failed to schedule a settlement conference."

Andy Calderon, Attorney

Office of Legal Services, Litigation Division Texas Commission on Environmental Quality

Before me, the undersigned authority, on this day personally appeared Rudy Calderon, known to me to be the person whose name is subscribed to the foregoing instrument, and acknowledged to me that he executed the same for the purposes and consideration herein expressed.

Given under my hand and seal of office this Acade day of

Moreh, A.D., 2009.

Jacqueline Frances Duckworth
Notary Public
State of Texas
My Commission Expires
April 25, 2011

Notary Signature